


 Substitute Form PTO-1449
 (Modified)

 U.S. Department of Commerce
 Patent and Trademark Office

 Attorney's Docket No.
 09857-054001

 Application No.
 09/758,967

**Information Disclosure Statement
 by Applicant**

(Use several sheets if necessary)

 Applicant
 Steven M. Bloom et al.

 Filing Date
 January 11, 2001

 Group Art Unit
 2164 3628

U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
mm	AA	6,035,287		Stallaert et al.	705	37	3/7/00
mm	AB	6,278,983		Ball	705	37	8/21/01
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	AQ	
	AR	
	AS	
	AT	

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 Examiner Signature *Nguyen*

 Date Considered *6/23/04*

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Form PTO-1449 (Modified) Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 09857-054001	Application No. 09/758,967
	Applicant Steven M. Bloom et al.		1c971 U.S. PTO 09/758967 01/11/01
	Filing Date	Group Art Unit 3628	

U.S. Patent Documents

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	AP							

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
<i>mm</i>	AQ	Nasdaq-100 Index Tracking Stock, Brochure 9/15/00
<i>mm</i>	AR	Nasdaq -100 Index Tracking Stock Specifications 9/12/00
<i>mm</i>	AS	Nasdaq - 100 Index Tracking Stock Prospectus 6/30/2000
	AT	

Examiner Signature

Ngan Nguyen

Date Considered

6/23/04

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